



U.S. Environmental Protection Agency, Region IX
Financial Statement for Businesses *

(If additional space is needed, attach a separate sheet)

1. Your name and address (including zipcode and county)	1a. Business name and address (including zipcode and county)	2. Business phone number ()	
3. Name and address of registered agent (including zipcode and county)		4. (Check appropriate box) <input type="checkbox"/> Sole proprietor <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> Corporation	
5. State of Incorporation (or country if foreign)	5a. Employer Identification Number	6. Date of Incorporation	7a. Type of business
			7b. SIC Code

8. Information about owner, partners, officers, directors, major shareholder (5% or more stock ownership), other holders of more than 5% equity interest, holders of rights to purchase more than equity interest and other persons with an ability to control.

Name and Title	Effective Date	Home Address	Social Security Number (optional)	Phone Number	Total Shares or Interest

Section I General Financial Information

9. Last three years Federal and state income tax returns	Forms Filed	Tax Years ended	Net income before taxes
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10. Bank accounts (List all types of accounts including checking, savings, certificates of deposit, etc.)

Name of Institution	Address	Type of Account	Account No.	Balance
Total (Enter in Item 19)				

11. Bank Credit available (Lines of credit, etc.)

Name of Institution	Address	Credit Limit	Amount Owed	Credit Available	Monthly
Totals					

12. Location, box number, and contents of all safe deposit boxes rented or accessed



U.S. Environmental Protection Agency, Region IX

Financial Statement for Trusts *

(If additional space is needed, attach a separate sheet)

1. Name of Trust

2. Trustor Name and Address

3. Phone number

Section I

Trustee Information

4. Name and address

5. Phone number

6. Name and address

7. Phone number

Section II.

Beneficiary Information

8. Name, address and phone number

9. Name, address and phone number

10. Name, address and phone number

Section III.

General Financial Information for Trust

11. Last three years Federal and state income tax returns filed

12. Adjusted gross income on returns, per year

13. List all states these returns were filed in:

14. Bank accounts (include Savings & Loans, Credit Unions, IRA and Retirement Plans, Certificates of Deposit, etc.)

Name of Institution	Address	Type of Account	Account No.	Balance
Total (Enter in Item 23)				

* This information is requested pursuant to Section 104(e) of the Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C. § 9604, and is not subject to approval of the Paperwork Reduction Act of 1980, 44 U.S.C. § 3501, et seq.

Section III - continued

General Financial Information on Trust

15. Charge cards, Lines of credit

Type of Account or Card	Name and Address of Financial Institution	Monthly Payment	Credit Limit	Amount Owed	Credit Available
Totals (Enter in Item 28)					

16. Safe deposit boxes rented or accessed (List all locations, box numbers, and contents including estimated market value)

17. Real Property (Brief description of property and type of ownership)	Address (Include county, state and parcel number)			
a.				
b.				
c.				

18. Insurance Policies (Name of Company)	Policy Number	Type	Face Amount	Available Loan Value
Total (Enter in Item 24)				

19. Additional Financial Information (Court and administrative proceedings by or against the Trust, legal claims[whether asserted or not], settlement agreements, employment agreements, consulting and similar agreements, "golden parachute" agreements, bankruptcies, repossessions, recent transfers of assets for less than full value, anticipated increases in income, real estate being purchased under contract, real or personal property being held on behalf of the Trust, condition of health, information on trusts, estates, profit-sharing plans, inheritance, etc., in or of which the Trust is a participant or beneficiary).

20. Indicate any business entity in which the Trust owns five (5) percent or more of the outstanding stock (or other equity interest).

Name of Business Entity	Address	Percentage of Stock	Date Purchased

Section IV.

Asset and Liability Analysis

Description				Current Market Value	Liabilities Balance Due	Equity in Asset	Amount of Monthly Payment	Name and Address of Issuer or Lien/Note Holder/Obligee	Date Pledged	Date of Final Payment
21. Cash and precious metals or gems										
22. Bank accounts										
23 a. Stocks										
b. Bonds										
c. Mutual Funds, Partnership Interest, Securities and other Investments										
24. Cash or loan value of Insurance.										
25. Vehicles (<i>Model, year, license</i>)										
	a.									
	b.									
	c.									
26. Real property (<i>From item 17</i>)			a.							
			b.							
			c.							
27. Other tangible assets (including art, boats, jewelry, options, etc.) or financial debts owed to the Trust in excess of \$1000.										
	a.									
	b.									
	c.									
	d.									
28. Bank revolving credit										
29. Other Liabilities (Include judgements, notes, tax liens, etc.)	a.									
	b.									
	c.									
	d.									
	e.									
	f.									
	g.									
30. Federal and state Taxes Owed										
31. Totals						\$	\$	Enter in item 39		

List all transfers real & personal property, including cash (by gift or loan made not at fair market terms) to or from the Trust within the last 3 years (items with a current market value of \$1000.00 or more):

Date	Current Market Value	Sale Price Trust Received (if any)	Description of Property Transferred	To Whom (Indicate relationship to the Trust)	Nature and Conditions of Transfer

Section V. Monthly Income and Expense Analysis of Trust Fund				
Income			Necessary Expenses	
Source	Gross	Net		
32. Interest - Dividends	\$	\$	37. Trustee service fees	\$
33. Net business income			38. Rent (Do not show mortgage listed in item 26)	
34. Rental income			39. Installment payments	
35. Other Income (e.g. investment income, capital gains -- specify type)			40. Utilities (Gas \$ _____ Water \$ _____	
			Electric \$ _____ Phone \$ _____)	
			41. Transportation	
			42. Insurance (specify type)	
			43. Other expenses (specify)	
36. Total	\$	\$	44. Total	\$

Certification	
Under penalties of perjury, I declare that to the best of my knowledge and belief this statement of assets, liabilities, and other information is true, correct, and complete.	
45. Your signature	46. Date

Section I - continued

General Financial Information

13. Real property

Brief Description and Type of Ownership	Address (include county, state and parcel number)
a.	
b.	
c.	

14. Insurance policies owned with business as beneficiary

Name Insured	Company	Policy Number	Type	Face Amount	Available Loan Value
Total (Enter in Item 21)					

15. Additional Information (Court and administrative proceedings by or against the business, settlement agreements, agreements to purchase or sell tangible or financial assets other than in the ordinary course of business, legal claims [whether asserted or not], bankruptcies, repossessions, recent transfers of assets for less than full value, anticipated increases in income, options to buy or sell real or personal property, real or personal property being purchased under contract, real or personal property being held on behalf of the business).

15a. List all subsidiaries owned, joint ventures, partnerships and other entities controlled by the business. Provide current market value of the business' interest in such subsidiary or other entity.

16. Federal government departments or agencies with whom you have a contract for payment of goods or services

Agency Name	Address	Contract No.	Amount to be Received	Payment Due Date

16a. Federal government departments or agencies that have extended or given the business loans, grants or assistance, or to which you have applied (or anticipate applying for any loan, grant, or assistance) in the past 5 years.

17. Accounts/Notes receivable (Include loans to stockholders, officers, partners, etc.)

Agency Name	Address	Amount Due	Due Date	Status
Total (Enter in Item 20)				

Section II.

Asset and Liability Analysis

Description (a)			Cur. Mkt Value (b)	Liabilities Bal. Due (c)	Equity in Asset (d)	Amount of Mo. Pymt. (e)	Name and Address of Lien/Note Holder/Obligee (f)	Date Pledged (g)	Date of Final Pymt. (h)
18. Cash on hand									
19. Bank accounts									
19a. Securities and other financial assets owned									
20. Accounts/Notes receivable									
21. Insurance Loan Value									
22. Real property (from item 13)		a.							
		b.							
		c.							
		d.							
23. Vehicles (Model, year, license)	a.								
	b.								
	c.								
24. Machinery and equipment (Specify)	a.								
	b.								
	c.								
25. Merchandise inventory (Specify)	a.								
	b.								
26. Other Assets (including permits, licenses, tax loss carry forwards, agreements not to compete, other contracts) (Specify)	a.								
	b.								
	c.								
	d.								
27. Other Liabilities (Include judgements, notes, tax liens, etc.)	a.								
	b.								
	c.								
	d.								
	e.								
28. Federal & State Taxes Owed									
29. Totals									

Section III.

Income and Expense Analysis

The following information applies to income and expenses during a one year period:to

Accounting method used

Income		Expenses	
30. Gross receipts from sales, services, etc.	\$	36. Materials purchased	\$
31. Gross rental income		37. Wages and salaries of employees	
32. Interest		38. Wages/salaries/bonuses for officers, directors and stockholders	
33. Dividends		39. Rent	
34. Other income (Specify)		40. Installment payments (from line 29)	
		41. Supplies	
		42. Utilities / Telephone	
		43. Gasoline / Oil	
		44. Repairs and maintenance	
		45. Insurance	
		46. Current taxes	
		47. Other , including fees paid for services (Specify)	
35. Total	\$	48. Total	\$
		49. Net difference	\$

50. List all transferred real & personal property, including cash (by gift; by loan that was not at fair market terms; by sale for less than fair market value or made outside the normal course of business, etc.) that was made within the last 3 years (items of \$3,000.⁰⁰ or more):

Date	Amount	Property Transferred	To Whom	Conditions of Transfer
			(Indicate any relationship to business or its partners, directors, stockholders, or other controlling persons)	

Certification

Under penalties of perjury, I declare that to the best of my knowledge and belief this statement of assets, liabilities, and other information is true, correct, and complete.

51. Signature

52. Print Name / Title

53. Date